

DEPARTMENT OF THE NAVY  
Office of the Secretary  
Washington, DC 20350-1000

SECNAVINST 5430.57F  
NIG 00K  
15 January 1993

**SECNAV INSTRUCTION 5430.57F**

**From:** Secretary of the Navy  
**To:** All Ships and Stations

**Subj:** MISSION AND FUNCTIONS OF THE  
NAVAL INSPECTOR GENERAL

**Encl:** (1) Inspectors General for the Following  
DON Activities

**1. Purpose.** To set forth the authority, mission and functions of the Naval Inspector General (the NAVINSGEN) and the Office of the Naval Inspector General (NAVINSGEN). This instruction is a complete revision and should be read in its entirety.

**2. Cancellation.** SECNAV Instruction 5430.57E.

**3. Definitions**

**a.** "Area Visit" shall mean an inspection within a specific geographic location that focuses on evaluating specific functions within the Department of the Navy (DON), cutting across claimancy, fleet, and command lines to identify DON-wide problems.

**b.** "Audit" shall mean an examination or verification by an audit organization of an activity's financial records, programs and operations, performed or supervised by professionally qualified auditors in full conformance with Government Accounting Office audit standards.

**c.** "DON organization performing Inspector General (IG) functions" shall mean any entity, at any level within DON, that is tasked to perform one or more of the functions within the scope of this instruction at that level.

**d.** "IG Chain" shall mean the line of communication of information, including direction and reporting, between DON organizations performing IG functions at different levels within the chain of command, up to and including the NAVINSGEN.

**e.** "Inquiry" shall mean any form of examination into a matter, including inspections, investigations, area visits and surveys, but not including audits.

**f.** "Inspection" shall mean any effort to evaluate mission performance of a DON unit, activity, or function, including, but not limited to: command inspections; functional inspections; evaluations of material condition; effectiveness of management; use of resources against mission objectives; use and administration of contracts; compliance with statutory law, directives, and instructions; and the status of discipline, morale, equal opportunity, or other conditions that contribute to readiness and effectiveness.

**g.** "Investigation" shall mean any form of examination into specific allegations of wrongdoing or misconduct.

**h.** "Survey" shall mean the process of gathering information, without detailed verification, on an entity or function being investigated or inspected, for the purpose of identifying problem areas warranting additional review or to obtain information for use in planning and accomplishing an investigation or inspection.

**4. Background.** Various sections of Title 10, U.S. Code, together provide the statutory basis for, and define the NAVINSGEN's relationship to, the Office of the Secretary of the Navy (SECNAV), the Office of the Chief of Naval Operations (OPNAV), the Headquarters, Marine Corps (HQMC), and the Inspector General of the Department of Defense (DODIG):

**a.** 10 USC 5014 places the NAVINSGEN and the performance of the IG function within SECNAV and specifies that no other office or entity within OPNAV or HQMC may be established to perform the IG function. It requires SECNAV to ensure that NAVINSGEN provides the Chief of Naval Operations (CNO) and the Commandant of the Marine Corps (CMC) such staff support as they consider necessary to perform their duties and responsibilities.

**b.** 10 USC 5020 establishes NAVINSGEN within SECNAV and states that the NAVINSGEN shall be detailed from officers on the active duty list in the line of the Navy serving in grades above captain. It requires the NAVINSGEN, when directed, to inquire into and report upon matters affecting DON discipline or military efficiency, and to make such inspections, investigations, and reports as the Secretary or the CNO may direct. It also requires the NAVINSGEN to

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cooperate fully with the Department of Defense Inspector General (DODIG) in connection with the DODIG's performance of any duty or function under the Inspector General Act of 1978 (5 U.S.C. App. 3) regarding the DON. It provides for the NAVINSGEN to periodically propose programs of inspections to the Secretary and recommend additional inspections and investigations as may appear appropriate.

c. 10 USC 5032(b)(2) requires OPNAV, acting under the authority, direction, and control of SECNAV, to investigate and report upon the efficiency of the Navy and its preparation to support military operations by combatant commands. 10 USC 5042(b)(2) imposes a similar requirement upon HQMC with respect to the Marine Corps.

**5. Policy.** The DON shall strive to maintain the highest level of readiness, effectiveness, discipline, efficiency, integrity, and public confidence. Candid, objective, and uninhibited internal analysis of the management, operation, and administration of DON is essential to achieve this objective. All inquiries into matters affecting the integrity, efficiency, discipline and readiness of the DON shall be conducted in an independent and professional manner, without command influence, pressure, or fear of reprisal from any level within DON. All non-frivolous allegations of misconduct shall be thoroughly and impartially investigated and reported.

**6. Organization.** The NAVINSGEN shall be detailed from those officers serving in a grade not lower than Vice Admiral. The NAVINSGEN shall report to the Secretary. There shall be within the Office a Deputy NAVINSGEN, who shall be a member of the Senior Executive Service, and a Deputy NAVINSGEN for Marine Corps Matters (DNIGMC), who shall be a Marine Corps General Officer and perform the IG duties for the Marine Corps.

## 7. Authority and Responsibility

a. **General.** The NAVINSGEN is the senior investigative official in the DON and the principal advisor to the Secretary, CNO, and CMC on all matters concerning inspections, investigations, and audit followup. The NAVINSGEN shall ensure the policy expressed in this instruction is implemented within DON by initiating and conducting, or directing the conduct of, such inquiries as the NAVINSGEN deems appropriate, with

particular emphasis on those matters relating to DON integrity, ethics, efficiency, discipline, or readiness, afloat or ashore. NAVINSGEN shall issue DON policy and procedures for the conduct of inquiries within the scope of this instruction and ensure compliance therewith. The NAVINSGEN shall have overall authority over those specific inquiries within the purview of NAVINSGEN and in which the Naval Criminal Investigative Service (NCIS) and/or the Naval Audit Service may have an interest. NAVINSGEN shall provide SECNAV, CNO, and CMC information independent of the normal subordinate lines of authority and command. All DON personnel shall respond to any request or inquiry by NAVINSGEN as if made by the Secretary.

b. **Relationship with NCIS.** As set forth in paragraph 6a of SECNAVINST 5520.3B (Criminal and Security Investigations and Related Activities within the Department of the Navy), NCIS is primarily responsible for investigating actual, suspected, or alleged major crimes within DON. In addition, as set forth in paragraph 6e of the same instruction, NCIS has primary jurisdiction in the investigation of fraud offenses within DON, save for procurement fraud investigations which are the responsibility of the DODIG. As a general rule, NAVINSGEN shall avoid conducting investigations which focus on individual criminal activity, since those types of investigations fall within the expertise and authority of NCIS. Similarly, NCIS shall refrain from conducting investigations concerning the effectiveness of command procedures for good order and discipline or the effectiveness with which command personnel have carried out their duties, as those types of inquiries fall within the expertise and authority of NAVINSGEN. In the event that the Director, NCIS and the NAVINSGEN disagree about which of the two agencies shall handle a particular investigation, the matter shall be referred to the SECNAV for decision.

c. **Support to OPNAV.** NAVINSGEN shall provide such support to OPNAV as required to accomplish the investigative and reporting requirements of 10 USC 5032(b)(2), and such other support relating to the mission of NAVINSGEN as the CNO may request.

d. **Support to HQMC.** NAVINSGEN shall provide such support to HQMC as required to accomplish the investigative and reporting requirements of 10 USC 5042(b)(2), and such other support relating to the

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mission of NAVINSGEN as the CMC may request. Particular care will be taken to ensure the Marine Corps receives evenhanded treatment in structuring and operating NAVINSGEN, that a sufficient number of Marine Corps Officers are on the NAVINSGEN staff to ensure the interests of the Marine Corps are represented, and that HQMC receives appropriate NAVINSGEN support.

**e. Authority and Responsibility of the DNIGMC.** The DNIGMC is the senior investigative official within the Marine Corps and the principal Marine Corps advisor to the CMC on all matters concerning inspections and investigations. The DNIGMC shall implement paragraph 7d of this instruction and direct NAVINSGEN's performance of the mission and functions set forth in paragraph 8 of this instruction as they apply to the Marine Corps. The DNIGMC may communicate directly with the Secretary concerning Marine Corps matters.

**f. Credentials.** Personnel accredited by the NAVINSGEN to conduct inspections and investigations are authorized to carry NAVINSGEN credentials signed by the Secretary.

**g. Access to Information and Spaces.** NAVINSGEN shall have unrestricted access to all persons, unclassified information, and spaces within the DON the NAVINSGEN deems necessary to accomplish NAVINSGEN's mission. Subject to compliance with DON requirements for handling classified material, NAVINSGEN personnel shall be provided copies, in an appropriate form, of all recorded information the NAVINSGEN deems necessary to accomplish NAVINSGEN's mission. With respect to classified information and spaces:

(1) Personnel bearing NAVINSGEN credentials are certified for access to classified information and shall be presumed to have a "need to know" for access to information and spaces classified through SECRET. They shall be granted immediate unrestricted access to all information and spaces within the DON classified through SECRET.

(2) The provisions of the DON Information and Security Program Regulation shall be followed for granting credentialed personnel access to information and spaces classified above SECRET.

(3) The NAVINSGEN and personnel bearing NAVINSGEN credentials marked "Intelligence Oversight/Unlimited Special Access" are certified for access to information and spaces dealing with intelligence and sensitive activities, compartmented and special access programs, and other restricted access programs in which DON participates. When performing oversight of such programs pursuant to Executive Order, they shall be presumed to have a "need to know" for access to information and spaces concerning them. They shall be granted unrestricted access to all such information and spaces upon compliance with the provisions of the DON Information and Security Program Regulation and presentation of a written certification from the NAVINSGEN stating the bearer is performing an oversight function of the matter for which information is sought.

**h. Access Control, Routine Searches.** Personnel bearing NAVINSGEN credentials shall not be routinely required to sign in or out of, or to obtain other identification for entry or access to, DON installations, commands, or ships. Personnel properly identifying themselves as representatives of NAVINSGEN shall, in the course of official business, be exempt from all routine searches of their person, briefcases, other possessions and materials used by them, their vehicles, and all occupants therein.

**i. Oaths and Testimony.** The NAVINSGEN and credentialed personnel may administer oaths and take testimony under oath.

**j. Relationship to Other DON Organizations Performing Inspector General Functions.** In addition to any other reporting requirements they may have, all DON organizations performing IG functions shall immediately advise NAVINSGEN, through the IG Chain, prior to initiating any inquiry reasonably deemed likely to be of interest to the Secretary, the CNO, the CMC, or Congress. They shall provide periodic status reports and reports of the final disposition of such inquiries to NAVINSGEN. The Inspectors General of those DON Activities set forth in Enclosure (1) to this instruction shall be assigned additional duty to the staff of the NAVINSGEN.

**k. Designated Individual Support.** NAVINSGEN is authorized to task, by name or area and level of expertise, such military and civilian personnel of

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DON for temporary assignment as the NAVINSGEN determines may be required to carry out NAVINSGEN's mission and functions. Travel and per diem for such temporary personnel shall be paid by their parent bureaus, offices, or commands. Subject to applicable regulations, NAVINSGEN may temporarily employ civilian consultants when necessary to accomplish NAVINSGEN's mission.

**l. Organizational Support.** NAVINSGEN is authorized to task any inspection, investigative, or audit organization within DON to provide such support as the NAVINSGEN determines may be required to assist NAVINSGEN in the performance of its mission and functions. Costs associated with such support shall be paid by the tasked organization.

**m. Conflicts of Interest.** When a DON organization performing an IG function determines it inappropriate to inquire into a matter due to the existence or appearance of a conflict of interest, bias, prejudice, or other circumstance that may place the independence or impartiality of the inquiry in doubt, it shall refer the matter to the next highest office within the IG Chain. Should the NAVINSGEN determine it inappropriate for NAVINSGEN to inquire into a matter for such reasons, the NAVINSGEN shall request the Secretary task another entity within DON to conduct the inquiry. In the event the NAVINSGEN determines there is no entity within DON that should conduct the inquiry for such reasons, the NAVINSGEN shall so inform the Secretary.

## 8. Mission and Functions

### a. Mission. NAVINSGEN shall:

(1) Inspect, investigate, or inquire into any and all matters of importance to DON with particular emphasis on readiness, including, but not limited to: effectiveness, efficiency, discipline, morale, economy, ethics and integrity; environmental protection; safety and occupational health; medical and dental matters; physical security; information systems management; personnel support services and other issues affecting quality of life; command relationships and organizational structures; shall establish policy and procedures for the conduct of inquiries; and shall exercise broad supervision, general guidance, and coordination for all DON inspection, evaluation, and appraisal organizations.

(2) Through analysis of information obtained through investigations and inspections, identify areas of weakness in DON that relate to matters of discipline, integrity, efficiency, and readiness, and provide appropriate recommendations for improvement.

(3) Receive allegations of inefficiency, misconduct, impropriety, mismanagement, or violations of law, and investigate or refer such matters for investigation, as the NAVINSGEN deems appropriate.

(4) Serve as principal advisor to SECNAV, CNO, and CMC on all inspection, investigation, and audit followup matters.

### b. Functions. NAVINSGEN shall:

(1) Conduct for SECNAV, OPNAV, and HQMC, inspections and surveys of, and make appropriate evaluations, reports, and recommendations concerning:

(a) Operating Forces of the Navy and Marine Corps and other afloat and shore-based commands, units, and activities, including those naval forces assigned to the unified and specified commands.

(b) All components and functions of DON, including interrelationships between Navy and Marine Corps functions.

(c) Naval programs which could impact on readiness, afloat or ashore.

(2) Conduct area visits and make appropriate evaluations, reports, and recommendations.

(3) Establish objectives for, coordinate, and monitor inspection programs afloat and ashore in conjunction with appropriate commanders or supervisory authorities.

(4) Coordinate the efforts of organizations engaged in the periodic evaluation of effectiveness, efficiency, integrity, and economy in order to minimize duplication and the number of necessary inspections imposed on any unit or activity.

(5) Initiate and conduct investigations into any matters throughout DON as directed by SECNAV.

CNO, and CMC, or as otherwise deemed appropriate by the NAVINSGEN. Requests for investigations by other senior DON officials shall be given due consideration.

(6) Serve as a DON official to whom, as an alternative to the normal chain of command channels, DON military and civilian personnel may lodge complaints and provide facts without fear of reprisal concerning: violations of law, rules, or regulations; fraud, waste, or inefficiency; abuse of authority or other misconduct; and other matters that reasonably can be expected to be of interest to the Secretary, CNO, CMC, NAVINSGEN, or DODIG; in order to ensure appropriate inquiry and management action.

(7) Act as release/initial denial authority for Freedom of Information Act or Privacy Act requests concerning investigations and inspections conducted by or at the direction of NAVINSGEN, and other records relating to DOD/Navy hotline complaints that have been referred to NAVINSGEN.

(8) Release IG reports, records, and related documents maintained by DON sources to the General Accounting Office (GAO), Defense Audit Service, and DODIG; coordinate the release of NAVINSGEN directed IG reports, records, and related documents maintained by DON sources to federal, state and local governmental agencies or offices outside of DON.

(9) Cooperate fully with the DODIG in connection with the performance of any duty or function of the DODIG under the Inspector General Act of 1978 (5 USC App 3) regarding DON.

(10) Maintain, in conjunction with the General Counsel of the Navy and the Judge Advocate General, oversight in the intelligence area and nonintelligence (special activities) to ensure DON compliance with applicable Executive Orders and make reports as required.

(11) Coordinate the inspection program aspects of the DON Environmental Protection and Occupational Safety and Health Programs, conduct oversight inspections of DON activities ashore for compliance with these programs, and make reports as required.

(12) Serve as central coordinator for DON matters concerned with fraud, waste, and inefficiency; receive information from appropriate offices on significant items of fraud, waste, and inefficiency DON-wide and report status of corrective actions to higher authority; and initiate followup as required.

(13) Coordinate and cooperate with the Auditor General of the Navy on matters relating to internal auditing throughout DON.

(14) Serve as the SECNAV action officer for DON audit decision and audit followup functions to ensure prompt corrective action.

(15) Adjudicate disputed audit findings between the Naval Audit Service and audited DON organizations and forward written recommendations to the Under Secretary of the Navy for final decision.

(16) Serve as the central coordinator for the DON Semiannual Report on Audit, Inspection, and Investigation Activities and for Semiannual Followup Status Reports.

(17) Coordinate and cooperate with the IG of the Joint Chiefs of Staff (JCS) on matters of concern to the JCS and the Unified Commanders.

(18) Act as the DON action officer for Congressional inquiries concerning matters under the purview of NAVINSGEN.

(19) Serve as Navy Program Manager and focal point for the DOD and Navy "Hotline" Program.

(20) Serve as DON focal point for all matters pertaining to acquisition-related fraud remedies.

**9. NAVINSGEN Reports.** The NAVINSGEN is the confidential agent of SECNAV, CNO, and CMC for obtaining uninhibited self-analysis and self-criticism of the internal management, operation, and administration of DON. Therefore, NAVINSGEN reports are internal memoranda and constitute privileged information which is not releasable outside DON except with specific approval of NAVINSGEN. All requests from sources outside original distribution for NAVINSGEN reports, extracts therefrom, or related correspondence shall be referred to NAVINSGEN for coordination and

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clearance. Classifications and restrictions on the disclosure or use of IG reports shall be strictly observed.

**10. Limitations.** This instruction shall be construed to avoid interfering with other independent authorized investigations, such as courts of inquiry or investigations under the authority of the Uniform Code of Military Justice or the Manual of the Judge Advocate General, and criminal investigations conducted by the NCIS.

**11. Action.** Addressees shall take such action as is expressed or implied to ensure compliance with this instruction. Chiefs of offices and activities of DON and all naval commanders and commanding officers, afloat and ashore, shall extend full cooperation to NAVINSGEN.

**SEAN O'KEEFE**  
Secretary of the Navy

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Enclosure (1)